

Title 32: PROFESSIONS AND OCCUPATIONS

Chapter 13: DEALERS IN SECURITIES

Table of Contents

Subchapter 1. GENERAL PROVISIONS.....	3
Section 751. TITLE (REPEALED).....	3
Section 751-A. DEFINITIONS (REPEALED).....	3
Section 752. SERVICE OF NOTICES (REPEALED).....	3
Section 753. APPEALS (REPEALED).....	3
Section 754. PENALTIES AND ENFORCEMENT PROVISIONS (REPEALED).....	3
Section 755. FRAUDULENT AND OTHER PROHIBITED PRACTICES (REPEALED).....	3
Section 756. RULES AND REGULATIONS (REPEALED).....	3
Subchapter 2. BANK SUPERINTENDENT.....	4
Section 801. DIRECTOR OF SECURITIES DIVISION; EXAMINERS (REPEALED).....	4
Section 802. LIST OF DEALERS (REPEALED).....	4
Section 803. LIST OF SECURITIES; STATEMENT OF ASSETS AND EARNINGS (REPEALED).....	4
Section 804. INFORMATION BY BANK COMMISSIONER TO ADVISORY COMMITTEE (REPEALED).....	4
Section 805. REVOCATION OR SUSPENSION; DEALER'S REGISTRATION (REPEALED).....	4
Section 806. REVOCATION OR SUSPENSION; AGENT'S REGISTRATION (REPEALED).....	4
Section 807. EXEMPTIONS (REPEALED).....	4
Subchapter 3. REGISTRATION.....	5
Section 851. REGISTRATION REQUIRED (REPEALED).....	5
Section 852. DEALER APPLICATION (REPEALED).....	5
Section 853. FEES (REPEALED).....	5
Section 854. EXPIRATION OF REGISTRATION (REPEALED).....	5
Section 855. USE OF EVIDENCE OF REGISTRATION (REPEALED).....	5
Section 856. AGENTS; APPLICATION; EXAMINATIONS (REPEALED).....	5
Section 857. EXEMPTED DEALERS (REPEALED).....	6
Subchapter 4. REGISTRATION OF SECURITIES.....	6
Section 871. REGISTRATION OF SECURITIES; NOTICE OF INTENTION TO SELL (REPEALED).....	6
Section 872. INVESTIGATIONS; DENIAL OR REVOCATION OF REGISTRATION OF SECURITIES (REPEALED).....	6
Section 873. EXEMPT SECURITIES (REPEALED).....	6
Section 874. EXEMPTED TRANSACTIONS AND DISTRIBUTIONS (REPEALED).....	6
Section 874-A. EXEMPTED TRANSACTIONS AND DISTRIBUTIONS (REPEALED).....	6
Subchapter 5. CIVIL LIABILITIES.....	6

Section 881. CIVIL LIABILITIES (REPEALED)..... 7

Subchapter 6. NEGOTIABLE CHECKS AND MONEY ORDERS 7

Section 891. SALE OF NEGOTIABLE CHECKS AND MONEY ORDERS
(REPEALED)..... 7

Maine Revised Statutes
Title 32: PROFESSIONS AND OCCUPATIONS
Chapter 13: DEALERS IN SECURITIES

Subchapter 1: GENERAL PROVISIONS

§751. TITLE

(REPEALED)

SECTION HISTORY

1967, c. 484, §1 (AMD). 1973, c. 111, (AMD). 1973, c. 212, §1 (AMD).
1977, c. 696, §235 (AMD). 1979, c. 697, §§1-3 (AMD). 1981, c. 448, §1
(RPR). 1985, c. 400, §1 (RP).

§751-A. DEFINITIONS

(REPEALED)

SECTION HISTORY

1981, c. 448, §2 (NEW). 1985, c. 400, §1 (RP).

§752. SERVICE OF NOTICES

(REPEALED)

SECTION HISTORY

1973, c. 585, §11 (AMD). 1981, c. 448, §3 (AMD). 1985, c. 400, §1 (RP).

§753. APPEALS

(REPEALED)

SECTION HISTORY

1973, c. 585, §11 (AMD). 1977, c. 694, §555 (RPR). 1985, c. 400, §1
(RP).

§754. PENALTIES AND ENFORCEMENT PROVISIONS

(REPEALED)

SECTION HISTORY

1967, c. 484, §2 (AMD). 1973, c. 585, §11 (AMD). 1981, c. 448, §4
(RPR). 1985, c. 400, §1 (RP).

§755. FRAUDULENT AND OTHER PROHIBITED PRACTICES

(REPEALED)

SECTION HISTORY

1967, c. 484, §3 (NEW). 1985, c. 400, §1 (RP).

§756. RULES AND REGULATIONS

(REPEALED)

SECTION HISTORY

1967, c. 484, §4 (NEW). 1973, c. 585, §11 (AMD). 1977, c. 694, §556 (AMD). 1981, c. 448, §§5,6 (AMD). 1985, c. 400, §1 (RP).

Subchapter 2: BANK SUPERINTENDENT

§801. DIRECTOR OF SECURITIES DIVISION; EXAMINERS

(REPEALED)

SECTION HISTORY

1967, c. 484, §5 (AMD). 1973, c. 585, §11 (AMD). 1985, c. 389, §11 (RP). 1985, c. 400, §1 (RP).

§802. LIST OF DEALERS

(REPEALED)

SECTION HISTORY

1973, c. 585, §11 (AMD). 1975, c. 767, §25 (RPR). 1981, c. 448, §7 (AMD). 1981, c. 698, §156 (AMD). 1983, c. 599, §1 (RPR). 1985, c. 400, §1 (RP).

§803. LIST OF SECURITIES; STATEMENT OF ASSETS AND EARNINGS

(REPEALED)

SECTION HISTORY

1967, c. 484, §6 (AMD). 1973, c. 585, §11 (AMD). 1985, c. 400, §1 (RP).

§804. INFORMATION BY BANK COMMISSIONER TO ADVISORY COMMITTEE

(REPEALED)

SECTION HISTORY

1967, c. 484, §7 (RP). 1985, c. 400, §1 (RP).

§805. REVOCATION OR SUSPENSION; DEALER'S REGISTRATION

(REPEALED)

SECTION HISTORY

1973, c. 585, §11 (AMD). 1977, c. 694, §557 (AMD). 1981, c. 448, §8 (RPR). 1983, c. 599, §2 (AMD). 1985, c. 400, §1 (RP).

§806. REVOCATION OR SUSPENSION; AGENT'S REGISTRATION

(REPEALED)

SECTION HISTORY

1973, c. 585, §11 (AMD). 1977, c. 694, §558 (AMD). 1981, c. 448, §8 (RPR). 1983, c. 599, §3 (AMD). 1985, c. 400, §1 (RP).

§807. EXEMPTIONS

(REPEALED)

SECTION HISTORY

1973, c. 55, §1 (NEW). 1973, c. 585, §11 (AMD). 1981, c. 448, §9 (AMD).
1985, c. 400, §1 (RP).

Subchapter 3: REGISTRATION

§851. REGISTRATION REQUIRED

(REPEALED)

SECTION HISTORY

1973, c. 55, §2 (AMD). 1981, c. 448, §10 (AMD). 1985, c. 400, §1 (RP).

§852. DEALER APPLICATION

(REPEALED)

SECTION HISTORY

1967, c. 484, §8 (AMD). 1973, c. 585, §11 (AMD). 1981, c. 448, §11
(RPR). 1983, c. 599, §4 (AMD). 1985, c. 400, §1 (RP).

§853. FEES

(REPEALED)

SECTION HISTORY

1973, c. 585, §11 (AMD). 1975, c. 767, §26 (RPR). 1981, c. 448, §12
(RPR). 1983, c. 599, §5 (RPR). 1985, c. 400, §1 (RP).

§854. EXPIRATION OF REGISTRATION

(REPEALED)

SECTION HISTORY

1973, c. 585, §11 (AMD). 1975, c. 767, §27 (RPR). 1981, c. 448, §12A
(RPR). 1983, c. 553, §46 (AMD). 1983, c. 599, §6 (RPR). 1985, c. 400,
§1 (RP).

§855. USE OF EVIDENCE OF REGISTRATION

(REPEALED)

SECTION HISTORY

1973, c. 585, §11 (AMD). 1981, c. 448, §13 (AMD). 1983, c. 599, §7
(RPR). 1985, c. 400, §1 (RP).

§856. AGENTS; APPLICATION; EXAMINATIONS

(REPEALED)

SECTION HISTORY

1967, c. 484, §9 (AMD). 1973, c. 585, §11 (AMD). 1975, c. 767, §§28,29
(AMD). 1981, c. 448, §§14-18 (AMD). 1983, c. 553, §46 (AMD). 1983, c.
599, §§8-10 (AMD). 1985, c. 400, §1 (RP).

§857. EXEMPTED DEALERS

(REPEALED)

SECTION HISTORY

1973, c. 212, §2 (NEW). 1979, c. 697, §7 (AMD). 1985, c. 400, §1 (RP).

Subchapter 4: REGISTRATION OF SECURITIES

§871. REGISTRATION OF SECURITIES; NOTICE OF INTENTION TO SELL

(REPEALED)

SECTION HISTORY

1967, c. 291, §1 (NEW). 1967, c. 484, §10 (NEW). 1967, c. 544, §79 (RP). 1973, c. 55, §3 (AMD). 1973, c. 57, (AMD). 1973, c. 585, §11 (AMD). 1973, c. 625, §211 (AMD). 1979, c. 697, §8 (AMD). 1981, c. 448, §19 (AMD). 1985, c. 400, §1 (RP).

§872. INVESTIGATIONS; DENIAL OR REVOCATION OF REGISTRATION OF SECURITIES

(REPEALED)

SECTION HISTORY

1967, c. 291, §1 (NEW). 1967, c. 484, §10 (NEW). 1967, c. 544, §79 (RP). 1973, c. 585, §11 (AMD). 1977, c. 694, §559 (RPR). 1981, c. 448, §20 (AMD). 1983, c. 657, (AMD). 1985, c. 400, §1 (RP).

§873. EXEMPT SECURITIES

(REPEALED)

SECTION HISTORY

1967, c. 291, §1 (NEW). 1967, c. 484, §10 (NEW). 1967, c. 544, §78 (AMD). 1967, c. 544, §79 (RP). 1973, c. 585, §11 (AMD). 1979, c. 697, §4 (AMD). 1981, c. 448, §§21,22 (AMD). 1985, c. 400, §1 (RP).

§874. EXEMPTED TRANSACTIONS AND DISTRIBUTIONS

(REPEALED)

SECTION HISTORY

1967, c. 291, §1 (NEW). 1967, c. 484, §10 (NEW). 1967, c. 544, §79 (RP). 1973, c. 212, §3 (AMD). 1973, c. 585, §11 (AMD). 1975, c. 158, (AMD). 1977, c. 474, §§1,2 (AMD). 1979, c. 697, §5 (RP).

§874-A. EXEMPTED TRANSACTIONS AND DISTRIBUTIONS

(REPEALED)

SECTION HISTORY

1979, c. 697, §6 (NEW). 1981, c. 448, §23 (AMD). 1985, c. 400, §1 (RP).

Subchapter 5: CIVIL LIABILITIES

§881. CIVIL LIABILITIES*(REPEALED)*

SECTION HISTORY

1967, c. 291, §1 (NEW). 1967, c. 484, §10 (NEW). 1967, c. 544, §79 (RP). 1981, c. 448, §24 (AMD). 1985, c. 400, §1 (RP).

Subchapter 6: NEGOTIABLE CHECKS AND MONEY ORDERS

§891. SALE OF NEGOTIABLE CHECKS AND MONEY ORDERS*(REPEALED)*

SECTION HISTORY

1967, c. 291, §1 (NEW). 1967, c. 544, §79 (RP). 1975, c. 500, §2 (NEW). 1975, c. 666, §32 (AMD). 1975, c. 767, §30 (AMD). 1989, c. 17, §§1,2 (AMD). 1995, c. 309, §21 (AMD). 1995, c. 309, §29 (AFF). 1997, c. 155, §A3 (AFF). 1997, c. 155, §A1 (RP).

The State of Maine claims a copyright in its codified statutes. If you intend to republish this material, we require that you include the following disclaimer in your publication:

All copyrights and other rights to statutory text are reserved by the State of Maine. The text included in this publication reflects changes made through the Second Regular Session of the 127th Maine Legislature and is current through October 1, 2016. The text is subject to change without notice. It is a version that has not been officially certified by the Secretary of State. Refer to the Maine Revised Statutes Annotated and supplements for certified text.

The Office of the Revisor of Statutes also requests that you send us one copy of any statutory publication you may produce. Our goal is not to restrict publishing activity, but to keep track of who is publishing what, to identify any needless duplication and to preserve the State's copyright rights.

PLEASE NOTE: The Revisor's Office cannot perform research for or provide legal advice or interpretation of Maine law to the public. If you need legal assistance, please contact a qualified attorney.